

Agenda

CABINET

Members of the Cabinet

Portfolio

Date

Monday 24 August 2020

Mr J Fuller
(Chairman)

External Affairs and
Policy

Mrs K Mason Billig
(Vice Chairman)

Governance and
Efficiency

Mrs Y Bendle

Better Lives

Mr M Edney

Clean and Safe
Environment

Mrs L Neal

Stronger Economy

Mrs A Thomas

Customer Focus

Mr J Worley

Finance and
Resources

Time

9.00 am

Place

To be hosted remotely at:
South Norfolk House
Cygnet Court
Long Stratton
Norwich
NR15 2XE

PUBLIC ATTENDANCE

This meeting will be live streamed for public viewing via the following link:

<https://www.youtube.com/channel/UCZciRgwo84-iPyRlmsTCIng>

If a member of the public would like to attend to speak on an agenda item, please email your request to democracy@s-norfolk.gov.uk, no later than 5.00pm on Thursday 20 August 2020

Contact

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**If you have any special requirements in order to attend this meeting,
please let us know in advance
Large print version can be made available**

Agenda

1. To report apologies for absence
2. Any items of business which the Chairman decides should be considered as a matter of urgency pursuant to Section 100B(4)(b) of the Local Government Act, 1972. Urgent business may only be taken if, "by reason of special circumstances" (which will be recorded in the minutes), the Chairman of the meeting is of the opinion that the item should be considered as a matter of urgency;
3. To Receive Declarations of Interest from Members (please see guidance – page 3)
4. To confirm the minutes of the meeting of Cabinet held on 21 July 2020
(attached – page 5)
5. Alignment of Mandatory Licensable Houses in Multiple Occupation Fees across the two Councils;
(report attached – page 15)
6. Update to Local Development Scheme; (report attached – page 25)
7. COVID-19 Response – Norfolk-wide Fighting Fund; (attached – page 44)
8. Risk Management Policy and Strategy; (report attached – page 46)
9. Exclusion of the Public and Press

To exclude the public and press from the meeting under Section 100A of the Local Government Act 1972 for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act (as amended)

10. Waste Services Review; (report attached – page 64)

(NOT FOR PUBLICATION by virtue of Schedule 12A Part 1 of Paragraph 3 of the Local Government Act 1972 (as amended))

11. Exempt Minute

To receive an exempt minute of the meeting held on 21 July 2020 (attached page 292)

Agenda Item: 3

DECLARATIONS OF INTEREST AT MEETINGS

When declaring an interest at a meeting Members are asked to indicate whether their interest in the matter is pecuniary, or if the matter relates to, or affects a pecuniary interest they have, or if it is another type of interest. Members are required to identify the nature of the interest and the agenda item to which it relates. In the case of other interests, the member may speak and vote. If it is a pecuniary interest, the member must withdraw from the meeting when it is discussed. If it affects or relates to a pecuniary interest the member has, they have the right to make representations to the meeting as a member of the public but must then withdraw from the meeting. Members are also requested when appropriate to make any declarations under the Code of Practice on Planning and Judicial matters.

Have you declared the interest in the register of interests as a pecuniary interest? If Yes, you will need to withdraw from the room when it is discussed.

Does the interest directly:

1. affect yours, or your spouse / partner's financial position?
2. relate to the determining of any approval, consent, licence, permission or registration in relation to you or your spouse / partner?
3. Relate to a contract you, or your spouse / partner have with the Council
4. Affect land you or your spouse / partner own
5. Affect a company that you or your partner own, or have a shareholding in

If the answer is "yes" to any of the above, it is likely to be pecuniary.

Please refer to the guidance given on declaring pecuniary interests in the register of interest forms. If you have a pecuniary interest, you will need to inform the meeting and then withdraw from the room when it is discussed. If it has not been previously declared, you will also need to notify the Monitoring Officer within 28 days.

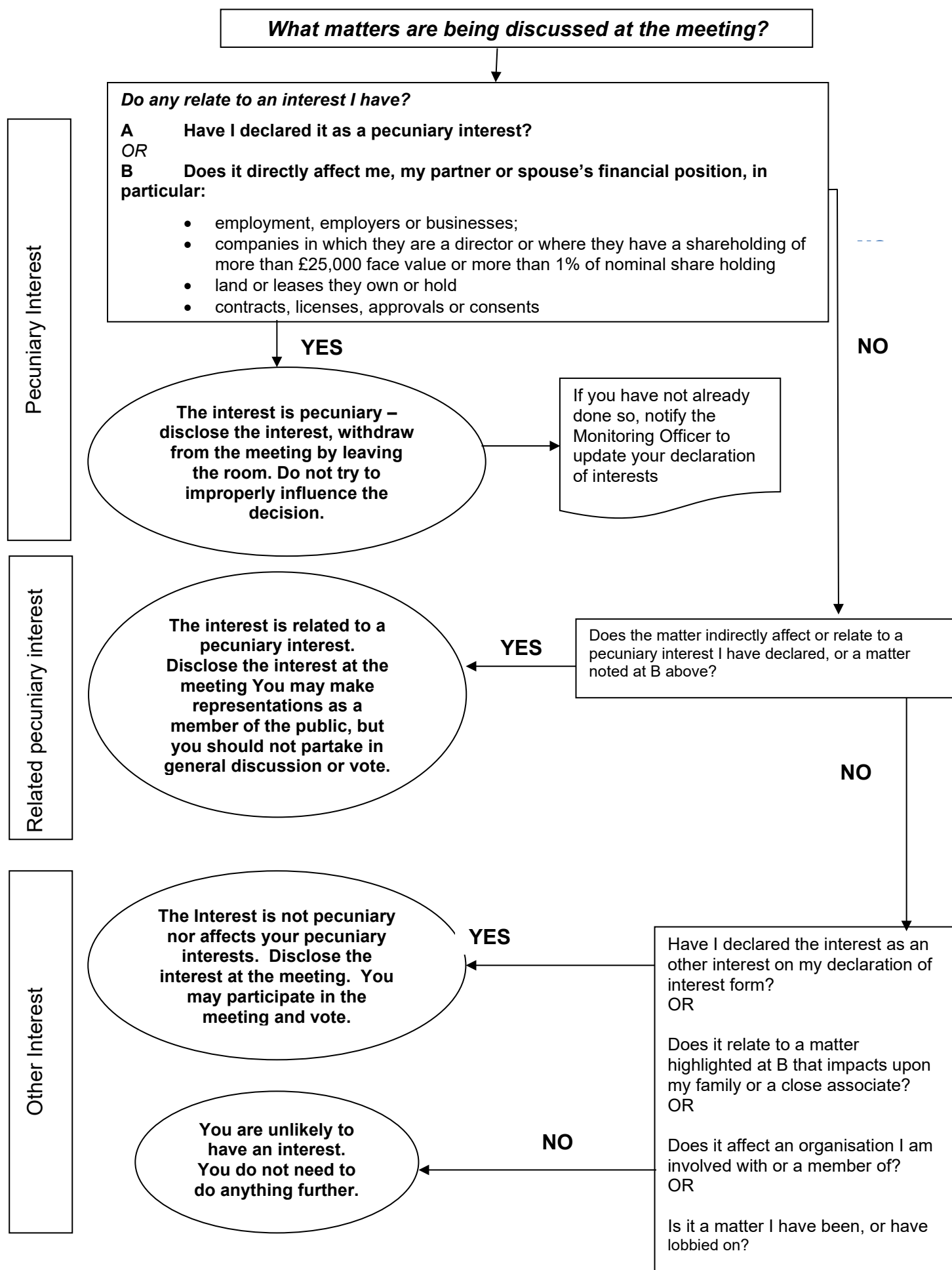
Does the interest indirectly affect or relate any pecuniary interest you have already declared, or an interest you have identified at 1-5 above?

If yes, you need to inform the meeting. When it is discussed, you will have the right to make representations to the meeting as a member of the public, but you should not partake in general discussion or vote.

Is the interest not related to any of the above? If so, it is likely to be an other interest. You will need to declare the interest, but may participate in discussion and voting on the item.

Have you made any statements or undertaken any actions that would indicate that you have a closed mind on a matter under discussion? If so, you may be predetermined on the issue; you will need to inform the meeting, and when it is discussed, you will have the right to make representations to the meeting as a member of the public, but must then withdraw from the meeting.

**FOR GUIDANCE REFER TO THE FLOWCHART OVERLEAF. PLEASE REFER ANY
QUERIES TO THE MONITORING OFFICER IN THE FIRST INSTANCE
DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF**





CABINET

Minutes of a remote meeting of the Cabinet of South Norfolk District Council, held on Tuesday 21 July 2020 at 9.00 am.

Members Present:

Cabinet: Councillors: J Fuller (Chairman), Y Bendle, M Edney, L Neal, K Mason Billig, A Thomas and J Worley

Non-Appointed Councillors: D Bills, V Clifford-Jackson, R Elliott, C Hudson, T Laidlaw, S Nuri-Nixon and V Thomson

Officers in Attendance: The Managing Director (T Holden), the Director of Communities (J Sutterby), the Director of Place (P Courtier), the Director of Resources (D Lorimer), the Assistant Director Governance and Business Support (E Hodds), the Assistant Director Finance (R Fincham), the Assistant Director of Regulatory Services (N Howard), the Assistant Director of Community Services (S Phelan), the Chief of Staff (H Ralph), the Transformation, Innovation and Internal Consultancy Manager (E Pepper), the Environmental Management Officer (D Baillie-Murden) the Senior Governance Officer (E Goddard) and the Transformation and Innovation Lead Officer (S Crook)

2804 DECLARATIONS OF INTEREST

Cllr J Fuller declared an 'other' interest as a client of a legal law firm, referred to under item 13, the Review of Legal Services Provision.

Cllr L Neal declared an 'other' interest by virtue of a family member working at the Framingham Earl Sports Centre (item 7, Leisure Services Recovery Plan Update)

Cllr A Thomas declared an 'other' interest by virtue of a family member being a member of the Long Stratton Leisure Centre (item 7, Leisure Services Recovery Plan Update), and also by virtue of a family member being an insurance broker (item 12 Insurance Procurement).

Cllr V Clifford Jackson declared an 'other' interest as a volunteer for Cruse Bereavement Care (Item 6, Plan for Recovery from the Covid-19 Crisis)

2805 MINUTES

The minutes of the Cabinet meeting held on Monday 15 June 2020, were confirmed as a correct record and signed by the Chairman.

2806 PERFORMANCE, RISK, REVENUE AND CAPITAL BUDGET POSITION FOR QUARTER 4 2019/20

Members considered the report which detailed the Council's performance against strategic measures, risk position and financial position for the fourth quarter of 2019/20.

The Chairman was pleased that the Council continued to perform strongly against most of its strategic performance indicators and advised that it was only to be expected that Covid-19 had impacted on some targets.

Referring to the financial position, Cllr J Worley explained that the Council was in a good position with a positive variance of £2.5 million at year end. He outlined those areas that had failed to meet target, explaining that CNC had experienced the wettest February on record and had also been affected by the lockdown at the end of the financial year.

He went on to explain that non-domestic rates and Council Tax collection had also been affected by Covid-19 but had only just missed their targets at year end. The Assistant Director assured members that an appropriate approach would be taken towards anyone who was unable to pay, due to hardship.

Attention was drawn to the £400k overspend on Leisure, but Cllr Worley stressed that this was to be expected due to lockdown and the previous issues concerning VAT. He did not wish this to detract from the good performance of leisure overall, with a 19% increase in income from the previous year.

The Assistant Director of Finance explained that the Council's overall general fund balance, including reserves, had risen from £21 million to over £24 million in the last year, which was an extremely healthy position. He did however stress that this was the position at Quarter 4 and members should be mindful of the Medium-term Financial Position and the impact of Covid-19 on the budgets going forward.

Turning to capital, he explained that the Council had spent £9.6 million against a balance of £38.8 million, adding that the Council had spent on key projects, however some large projects had not yet materialised due to issues outside of the Council's control.

With regard to Leisure, the portfolio holder, Cllr A Thomas wishing to highlight the variance concerning footfall of customers visiting the centres. She explained that had the centres not been closed due to Covid-19, the target of 1 million users would have been exceeded. She added that the challenge now lay with attracting visitors back and members noted that this would be considered in more detail later in the agenda.

Cllr Y Bendle wished to highlight the positive performance in affordable housing, referring to the 593 affordable homes delivered against a target of 500. She hoped that this would have a positive impact on homelessness, and she referred to the hidden homeless that had come to light during lockdown. Attention was drawn to the number of households in temporary accommodation, and the fact that this had failed to hit target, and members were reminded that corrective measures have already been put in place with the recently agreed adjustments to the allocations policy.

Turning to strategic risks, the Senior Governance Officer referred members to Risk 57, regarding the impact of Brexit in a no deal scenario, explaining that this had been removed from the register as it was no longer considered to be a current risk facing the Council. Concerning Risk 54, regarding the management of the Council's assets, she explained that an accommodation review had begun to look at the longer term requirements of both South Norfolk and Broadland, and that work was currently being carried out to ensure that the office was Covid-19 secure and safe for staff, members and other visitors.

The Chairman referred to the need in future to achieve the best devolution deal possible, working with neighbouring authorities and members agreed that failing to achieve the benefits of devolution should be an additional strategic risk.

Voting was then carried out by way of a roll call, and it was unanimously

RESOLVED To

1. Note the 2019/20 performance for the quarter and the combined efforts across the Directorates to deliver the vision of the Council.
- 2
 - (a) Note the current position with respect to risks, accepting the actions to support risk mitigation.
 - (b) That an additional strategic risk be added regarding the best possible outcome arising from devolution.
3. Note the capital and revenue position and the reason for the variances on the General Fund.

The Reason for the Decision

To ensure that processes are in place to improve performance, the management of risks is sound, and that budgets are managed effectively.

Other Options Considered

None.

2807 BROADLAND AND SOUTH NORFOLK – OUR PLAN FOR RECOVER FROM THE COVID-19 CRISIS

The Chief of Staff introduced her report which sought Cabinet's endorsement and recommendation to Council, for the approval of the Council's plan for recovery from the Covid-19 pandemic.

The Chief of Staff explained that there had been an incredible response to the Covid-19 pandemic from both agencies and communities, and she stressed the importance of having a plan in place, as the focus shifted to the recovery stage.

The Chairman referred to the review of market towns confidence campaign, which was to be discussed at the Scrutiny Committee in August, and he encouraged all members to attend to participate in the debate about the lessons to be learnt from the recent initiative.

Members' attention was drawn to the section of the Plan regarding the Recovery for Communities, and Cllr Bendle highlighted the partnership working that had taken place with all the districts, enabling early help work across the county. She hoped that much of this partnership work would continue.

Cllr V Clifford-Jackson endorsed Cllr Bendle's points and also suggested that the document could refer to learning points from the Council's initial response and the issues of IT connectivity facing some residents. She also raised the huge challenges facing mental health and bereavement support groups, and the need to build on existing liaisons with GPs.

Voting was then carried out by way of a roll call, and it was unanimously

RESOLVED TO RECOMMEND THAT COUNCIL

- a) Endorses the initial Recovery Plan and priorities to support recovery from the Covid-19 crisis in South Norfolk.
- b) Agrees the in-year review and update of the 2020/21 Delivery Plan, to be brought back to Cabinets in September 2020 and then onto Councils for agreement.

The Reason for the Decision

To ensure a clear overview of the Council's priorities for recovery and that the Council can effectively deliver services.

Other Options Considered

None

2808 LEISURE SERVICES RECOVERY PLAN UPDATE

(Cllr Mason Billig took the chair for this item whilst Cllr Fuller temporarily left the meeting)

Before introducing the report, Cllr A Thomas gave mention to Paul Anderson, the Council's duty Manager at Wymondham Leisure Centre, who had recently passed away at the age of 37, following a short battle with cancer. Members noted that Paul had worked for the Council for 15 years and had been instrumental to the success of the swim school. Cabinet expressed its sincere sympathies at his passing, and its thoughts were with his family, friends and colleagues.

Cllr A Thomas then presented the report which provided an update on the recovery plan for the reopening of the Council's leisure centres. She explained that the Plan had already been endorsed by the Commercial, Trading and Customer Focus Committee.

Members noted that the Wymondham and Diss Leisure Centres would be ready to open on 25 July. Cllr Thomas explained that it had not been anticipated that swimming pools would be allowed to open this early, and therefore the much-needed maintenance work had been brought forward, meaning that the Wymondham pool would probably open in mid-August, and the Diss pool in mid-September.

Cllr Thomas advised that a priority of the first stage of recovery was to re-engage existing customers, particularly direct debit customers. The second phase would look at new and innovative ways of taking the leisure service out into the community.

The Assistant Director of Communities explained that a lot of work had been carried out to ensure that the leisure centres were ready to open. Members were pleased to note that an independent inspection had been carried out on the leisure centres by "Right Direction", leisure industry health and safety specialists, and that the Council had received a glowing report, suggesting the Council to be a fine example to all leisure providers.

Members also noted that officers had engaged the services of an external marketing and communications agency, Spring, to assist in delivering a targeted opening campaign. This was being carried out using video, social media, emails and letters to customers. Members then viewed a short video that was to be used as part of the marketing campaign, to welcome back customers and to demonstrate how ready and safe the centres were. Members applauded the video and encouraged that it be shared widely.

Members' attention was drawn to the new product offer, as outlined in the report, and it was noted that the café, sauna and soft play areas would not reopen at this stage. With regard to lost income, officers explained that the Government had announced a support scheme, which would allow the Council to claim back some of its lost income.

Cllr C Hudson, the Chairman of the Commercial, Trading and Customer Focus Committee, commended the report, and officers for their work in what was a

challenging and moving environment. The Committee had considered the report in detail and endorsed its recommendations. He explained that there were still some unknowns, which required flexibility and that this was why the Committee endorsed an additional recommendation to Cabinet, giving delegated powers to the portfolio holder for Customer Focus, in consultation with the Director for People and Communities to change the pricing structure. The Committee had felt that one of the key aims was to build the membership to a similar level to that in February 2020, and part of this would involve attracting and providing confidence to new members to join the centres. He suggested that this would form part 2 of the recovery plan.

During further discussion, members indicated their support for the Plan, noting the importance of health, in addition to the commercial recovery.

It was

RESOLVED To:

- a) Note the progress being made by officers in ensuring that the facilities are able to reopen in the safest possible manner.
- b) Note the facility offer being presented to customers at the first phase of reopening, the £20 loyalty offer to existing direct debt members and the engagement of a specialist marketing and communications agency to deliver the reopening campaign.
- c) Note the income projections for the service based on the membership targets set.
- d) Note the potential level of financial support the Council may be able to reclaim from the Government for the loss of income.
- e) Note that the membership fees will be reviewed after the initial two months' introductory offer and any price increases agreed under delegated authority by the Portfolio Holder Customer Focus in consultation with the Director People and Communities.

The Reason for the Decision

To ensure staff and customer safety, whilst maximising income and improving the health of residents.

Other Options Considered

None.

2809 ENVIRONMENTAL STRATEGY

Members considered the report of the Environmental Management Officer, which presented Cabinet with the revised Environmental Strategy and Action Plan.

The Chairman commended the Strategy to members, referring to it as much clearer and more adventurous than the version previously considered by Cabinet.

The portfolio holder, Cllr M Edney, thanked the Growth Infrastructure and Environment Committee and the relevant officers, for their work on the Strategy. He felt its format to be much more user friendly, and particularly liked the separate action plan, which would be monitored and amended accordingly.

Voting was carried out by way of a roll call and it was unanimously

RESOLVED TO RECOMMEND THAT COUNCIL approve:

- a) The Environmental Strategy.
- b) The Action Plan.

The Reason for the Decision

To ensure a Strategy and action plan based on key themes, that is user friendly and can be set to improve the environment and address environmental challenges.

Other Options Considered

None.

2810 TEMPORARY PAVEMENT LICENSING

Members considered the report of the Senior Environmental Health Officer, which sought Cabinet approval on the delegation of authority to officers and the setting of fees and licence conditions for new temporary pavement licences to local business premises.

The Assistant Director (Regulatory) outlined the background to the report, advising that this was a temporary scheme that would close in September 2021. He referred members to the proposed fee of £75, and local conditions, outlined in the report.

Members noted that there was a need to balance the requirement to help businesses survive, with the environmental concerns of the local community, and the Assistant Director stressed that this would be managed carefully.

In response to a query regarding the possibility of the Council placing its own chairs in a public place for all local premises to share, the Assistant Director

explained that he would need to look in to this in more detail, however, he thought that there would still be a need for each individual business to apply for a licence.

The Chairman of Licensing, Cllr R Elliot, expressed his support for the recommendations, referring to it as a great example of responding to the needs of local businesses.

Voting was carried out by way of a roll call and it was unanimously

RESOLVED

To agree to:

- a) Set the temporary pavement licensing application fee at £75.
- b) Delegate authority to the following officers for the purposes provided at sub-paragraphs (a) and (b) below:
 - Licensing & Enforcement Officers
 - Senior Environmental Health Officer (Licensing)
 - Food, Safety and Licensing Team Manager
 - Assistant Director Regulatory
 - Director for Place
- i) To decide whether to approve, refuse, or revoke pavement licences, also to set their durations.
- ii) To decide which licence conditions are attached to each licence (selecting from local standard conditions as established, and non-standard conditions as appropriate to individual circumstances).
- c) Delegate authority to the following officers the power to enforce licence conditions and to vary or revoke individual licences:
 - Senior Environmental Health Officer (Licensing)
 - Food, Safety and Licensing Team Manager
 - Assistant Director Regulatory
 - Director for Place

The Reason for the Decision

To enable applications to be administered without delay, enabling businesses to safely expand their customer capacity and assist economic recovery.

Other Options Considered

None

2811 URGENT ITEM - LOANS TO PARISH COUNCILS

The Chairman agreed to consider this item as a matter of urgency, due to the need for the Parish Council concerned to carry out urgent repairs to the village hall.

Members considered the report which sought agreement for the delegation of authority to the Assistant Director of Finance, in consultation with the relevant portfolio holder, to agree interest free loans of up to £25k to parish councils. Cabinet noted that a small parish council had requested a loan from the Council to assist with urgent repairs to its local village hall.

The Assistant Director briefly outlined the report, and members indicated their support for the proposals.

Voting was carried out by way of a roll call and it was unanimously

RESOLVED To delegate to the Assistant Director of Finance, in consultation with the Portfolio Holder for Finance and Resources, authority to agree interest free loans of up to £25k to Parish Councils.

The Reason for the Decision

To demonstrate the Council's support for Parish and Town Councils, recognising the important role they play in the community.

Other Options Considered

- To reject the loan
- To charge interest on the loan
- Not to delegate future requests

2812 CABINET CORE AGENDA

Members noted the latest version of the Cabinet Core Agenda.

2813 EXCLUSION OF THE PRESS AND PUBLIC

It was

RESOLVED: To exclude the public and press from the meeting under Section 100A of the Local Government Act 1972 for the following items of business on the grounds that it involve the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act (as amended)

2814 INSURANCE PROCUREMENT

Members considered the *exempt* report of the Director of Resources, regarding the Council's current insurance contracts.

Cllr J Worley briefly outlined the proposals and it was

RESOLVED To agree the use of the ESPO framework to re-appoint the Council's broker and to award a one-year contract for insurance.

The Reason for the Decision

To allow for the future alignment with Broadland District Council and to maximise future efficiencies.

Other Options Considered

- To undertake an OJEU procurement exercise

2815 REVIEW OF LEGAL SERVICES PROVISION

Members considered the *exempt* report of the Assistant Director of Governance and Business Support, which provided options for the future provision of legal services for the Council.

The Assistant Director of Governance and Business Support outlined the options available to members and responded to a number of queries on points of detail.

After a full discussion, regarding all the options (see exempt minute), it was unanimously

RESOLVED To agree Option 4 (as outlined in the report) as the preferred option for the Legal Service provision.

The Reason for the Decision

To ensure a high quality, effective and efficient legal service provision for the Council.

Other Options Considered

As outlined in the report.

(the meeting concluded at 10.50 am)

Chairman

Alignment of Mandatory Licensable Houses in Multiple Occupation Fees across the two Councils

Report Author(s): Leigh Booth
ICT Lead, Housing Standards, Communities and Help
Hub
leigh.booth@broadland.gov.uk

Louise Simmonds
Housing and Health Manager
louise.simmonds@broadland.gov.uk

Portfolio: Cllr Yvonne Bendle, Health, Housing and Wellbeing

Ward(s) Affected: All

Purpose of the Report:

The purpose of this report is to recommend revisions to the chargeable fees for mandatory licensable Houses in Multiple Occupation, (HMO), in order to create a single consistent charge across the two Councils which accurately reflect the cost of the new single team.

Recommendation:

That Cabinet agrees that the new one team Council fees for mandatory licensable HMOs are set at:

- a. £825 for a new five-year licence;
- b. £133 for variations on an existing five-year licence; and
- c. £514 for renewal of a five-year licence.

1 SUMMARY

- 1.1 This report provides an overview of the legislative context for mandatory licensable HMO's, and proposes setting a single fee for the new one team service across both Councils.

2 BACKGROUND

- 2.1 The chargeable fee for a mandatory licensable HMO licence is different between Broadland and South Norfolk Councils. As a result of the new 'one team' working structure and pay scales the fees requires alignment. The fee must be based on actual costs, which are now the same for both Councils.
- 2.2 Central government guidance and legal case law advises that fees charged must be reasonable and proportionate and the licencing authority should not make a surplus. The Council is required to be able to demonstrate, if challenged, the justification for our fees. This report sets out that justification. A Council can only charge for the actual cost of the application process plus monitoring, i.e. administrative costs of investigating the background and suitability of the applicant and the cost of monitoring compliance by licensed landlords with licence conditions.
- 2.3 Guidance also states that the licencing authority should not include the cost of enforcing the licensing scheme against unlicensed landlords in the licence fee. Similarly, the set up costs for the licencing scheme cannot be recovered, nor can the overheads and general administrative costs.
- 2.4 The Legislative context for this service includes;
- The Licensing of Houses in Multiple Occupation (Prescribed Description) (England) Order 2018;
 - Houses in Multiple Occupation and Residential Property Licensing Reform – Guidance for Local Housing Authorities; and
 - The Licensing and Management of Houses in Multiple Occupation (Additional Provisions) (England) Regulations 2007.
- 2.5 A House in Multiple Occupation is a house or flat that is;
- Rented by three or more people, who form two or more households, and
 - Share facilities such as a toilet, bathroom or kitchen.
- 2.6 A Mandatory Licensable HMO is a house or flat that is;
- Rented by five or more people, who form two or more households, and
 - Share facilities such as a toilet, bathroom or kitchen.

- 2.7 A licence is necessary for every qualifying HMO and is specific to the property, not the owner or landlord.
- 2.8 Managing a mandatory licensable HMO without a licence is a criminal offence and the landlord could face a penalty of up to £30,000 or criminal prosecution to which further costs could then be added. A Rent Repayment Order can also be sought by tenants to claim back rent they have paid to a landlord who has failed to secure an HMO licence. Landlords may also find it difficult to evict tenants under section 21 of the Housing Act 1988 if an HMO does not have a valid licence.
- 2.9 For the purposes of this legislation a 'household' is as defined in the Housing Act 2004, which states that a household can be;
- A single person;
 - A co-habiting couple, (including same sex);
 - A family, (including foster and cared for children), related persons such as grandparents and a grandchild as well as unrelated persons such as domestic employees.
- 2.10 The following exemptions may apply to HMO licencing and are listed in the Housing Act 2004 and associated regulations:
- Property occupied by two people who form two households;
 - Buildings managed by a Local Housing Authority, Registered Provider, Police, Fire and Rescue or a Health Authority;
 - Buildings regulated under other statutory provisions;
 - Certain purpose-built student halls of residence which are subject to Health and Safety legislation and/or are regulated by the Office for Students;
 - Buildings Occupied principally for purposes of a religious community for prayer, contemplation, education or relief of suffering; and
 - Buildings which are owner occupied with no more than two lodgers.

3 CURRENT POSITION

- 3.1 The two Council mandatory licensable HMO process streamlined:

The two Councils processes for administering HMO licence applications are being combined and streamlined. An HMO Licence application form can be completed on line and submitted via both Council websites. The form must be completed in full and the following documentation provided:

- Gas Safety Certificate, (if relevant);
- Electrical Installation Condition Report (EICR) dated within the last five years;
- Fire Safety Equipment service records, (if relevant);

- Fire Alarm Test Certificate;
- Energy Performance Certificate; and
- Declaration of notifications to people who need to be notified prior to the application being submitted.

3.2 Certain individuals must be informed before a licence is applied for. Those individuals are:

- The Manager;
- The Owner(s);
- Long term tenant(s) or leaseholder(s);
- Any other person willing to be bound by the licence; and
- Any mortgage provider(s).

3.3 When the application form is complete and the relevant documentation gathered, it can be submitted on line or by post to the relevant Council.

3.4 Once the full application, relevant documentation and an initial application fee of £100 has been received, there is a process for checking the information provided and the certificates supplied. An inspection of the property will also be arranged.

3.5 When the inspection has taken place and all checks made, if the outcome is satisfactory, a draft licence with conditions will be issued. There is a 14-day consultation period on the draft licence where representations can be made by the applicant. Any representations made may result in the licence conditions being amended, varied or the representation(s) rejected.

3.6 At the end of the consultation period the final HMO licence will be issued, and the remainder of the licence fee of £725.52 must be paid. Completion of this process must happen within a prescribed period of 62 days.

3.7 Demand on the service:

Currently there are 12 mandatory licensable HMO's in Broadland and 20 in the South Norfolk Council areas. Although it is believed there are more properties that fall under this legislation that are yet to be licensed, it is unlikely there are large numbers in either district. Therefore, demand on this service is not expected to rise significantly in the foreseeable future. However, Officers are currently working on a project to identify unlicensed HMO's, ensure they are licensed and will take enforcement action where that is appropriate.

3.8 Fees:

The two Councils have previously used different methodologies for calculating fees and therefore charge different amounts for issuing new five year licences, subsequent variations on those licences and the anticipated renewal of a licence after five years.

- 3.9 The two different approaches previously used to determine fees have been aligned across both Councils and the fees recalculated on the basis of the change in practice and the job roles of those who deliver the service. This has resulted in a slight reduction of the five year HMO licence fee at South Norfolk Council but an increase to the variations to licence fee and licence renewal fee. The slight reduction in the initial licence fee reflects the efficiency that two Councils, one team creates. The new fees are defendable if the Council was challenged and are reasonable, proportionate and transparent figures.

4 PROPOSED ACTION

- 4.1 The table below details both current and proposed charges for this service for consideration. The new charges are correct as at 1/4/20 and are based on 2020/21 salary bandings and on-costs. **Appendix A and B** to this report set out the basis on which the new fees for new and renewed licences have been calculated. In addition **Appendix C** provides a cost comparison with fees charged by other similar local authorities.

- 4.2 Current and proposed fees for mandatory licensable HMO's:

	Five Year Licence (£)	Variations to Licence (£)	Renewal of Licence (£)
Broadland Fees	593.00*	28.50**	Not previously determined
South Norfolk Fees	853.00	49.00***	500.00
New 'one team' Fees	£825	£133	£514

*This is for up to 5 Lettings. If the licence is for more than 5 lettings an additional £28.50 is charged per extra letting. **This is per amendment ***This is a one off charge.

5 OTHER OPTIONS

- 5.1 It is within the gift of Broadland and South Norfolk Councils to choose to continue to charge the fees set prior to the decision to create a single team serving the two Councils. However, such an approach would be open to criticism in that landlords would pay different fees depending on the geographic location of their property. This would be difficult to justify as it would be the same team, following the same HMO licensing procedures across both Councils and could leave the Councils open to legal challenge and adversely impact upon the reputation of both Councils.

6 ISSUES AND RISKS

- 6.1 There is historically a difference in the fees charged by the two Councils. This arose out of the fact that the two Councils used different methodologies on which to base the calculation of the fees payable.

6.2 Resource Implications:

Although there will be a minor reduction in charges for new five year HMO licences in South Norfolk, the HMO licence renewal and licence variation fees will increase. The reduction in the initial licence fee will be more than offset by the additional income from licence renewals and variations to licences.

6.3 Legal Implications:

There are no legal implications arising from this report.

6.4 Equality Implications:

The key potential inequality arising from this report is the possibility of charging residents in the two Council areas different fees, for what will be the same service delivered by the same workforce – the one team.

6.5 Environmental Impact:

There are no negative impacts on the environment arising from this report. To the contrary, the mandatory licensable HMO process has a positive impact on the environment in that it actively delivers improved and healthier low cost housing to those living in HMO's in Broadland and South Norfolk.

6.6 Crime and Disorder:

The purpose of these measures is to ensure proper regulation of the private rented sector and improved quality of life for those living in HMO's. It is an offence for a landlord to not seek a licence for a qualifying HMO.

6.7 Risks :

There could be a legal challenge and reputational risk to the two Councils if different fees are charged for the same service delivered by the one team.

7 CONCLUSION

- 7.3 South Norfolk Council has a strong reputation for dealing with HMO's and this proposal ensures that this approach can be maintained whilst providing true costs that are legally chargeable and defensible if the Council is challenged.

8 RECOMMENDATION

8.1 That Cabinet agrees that the new one team Council fees for mandatory licensable HMOs are set at:

- £825 for a new five-year licence;
- £133 for variations on an existing five-year licence; and
- £514 for renewal of a five-year licence.

Background Papers

Broadland and South Norfolk Cabinet papers approving the original fees.

National Guidance on Charging for mandatory licensable HMO's.

APPENDIX A

HMO Licensing Procedure and Fee calculation – April 2020

Licensing procedure step	Officer	Officer cost per hr	Time spent (mins)	Total Cost (£)
1. Initial enquiry – email or telephone call. Advice provided.	CEO*	44.46	30	22.23
2. Information / guidance and application form sent out with letter / email.	CEO	44.46	30	22.23
3. Check property planning permissions.	CEO	44.46	30	22.23
4. Land registry check on property, (£3 search fee)	CEO	44.46	15	11.12 +3.00 fee
5. Receive application, send out receipt and acknowledgement letter. Request additional documents if necessary.	CEO	44.46	30	22.23
6. Review application form, fit and proper person declarations and necessary documents – gas and electrical safety certification. Determine max number of occupants and max number per bedroom.	CEO	44.46	90	66.69
7. Update FLARE / Uniform with information from application form.	CEO	44.46	60	44.46
8. Arrange site visit to property – letter/email to confirm.	CEO	44.46	15	11.12
9. Property Inspection taking notes and photographs. Determine compliance with amenity standards / HHSRS.	CEO	44.46	180	133.38
10. Review compliance with amenity / facility standards and minimum room size requirements.	CEO	44.46	90	66.69
11. Liaise with planning and Fire Safety and Rescue (if above commercial premises).	CEO	44.46	30	22.23
12. Download photographs and collate property notes / photographs onto FLARE / Uniform. Attach documents to IDOX.	CEO	44.46	60	44.46
13. Prepare draft licence with conditions and send with accompanying letter.	CEO	44.46	150	111.15
14. Discuss / determine any representations made.	CEO	44.46	60	44.46
15. After consultation period, prepare final licence with conditions and send out. Consider consultees and send copies to all.	CEO	44.46	60	44.46
16. Update public HMO register	CEO	44.46	30	22.23
17. Carry out risk assessment to determine date of next inspection. Update FLARE / Uniform.	CEO	44.46	30	22.23
18. Re-visit property following issue of new licence to check any works on conditions.	CEO	44.46	120	88.92
TOTAL			1,110	825.52

*CEO – Community Enforcement Officer

APPENDIX B

HMO Licence Renewal Procedure and Fee calculation - April 2020

Licensing procedure step	Officer	Officer cost per hour	Time spent (mins)	Total Cost (£)
1. Send email or licence renewal letter to landlord with application form. Update FLARE / Uniform.	CEO*	44.46	45	33.35
2. Receive application, send out receipt and acknowledgement letter. Request additional documents if necessary.	CEO	44.46	30	22.23
3. Review application form, fit and proper person declarations and necessary documents – gas and electrical safety certification. Check for changes and update FLARE / Uniform.	CEO	44.46	90	66.69
4. Land registry check on property, to check details remain accurate, (£3 search fee)	CEO	44.46	15	11.12 +3.00 fee
5. Liaise with planning if there are changes in occupancy, (more than 6).	CEO	44.46	30	22.23
6. Arrange site visit to property – letter/email to landlord to confirm. Update FLARE / Uniform.	CEO	44.46	30	22.23
7. Property Inspection taking notes and photographs. Determine compliance with licence conditions, fire safety requirements, amenity standards / HHSRS.	CEO	44.46	150	111.15
8. Download photographs and collate property notes / photographs onto FLARE / Uniform. Attach documents to IDOX.	CEO	44.46	60	44.46
9. Prepare draft licence with conditions and send with accompanying letter.	CEO	44.46	90	66.69
10. Discuss / determine any representations made.	CEO	44.46	30	22.23
11. After consultation period, prepare final licence with conditions and send out. Consider consultees and send copies to all.	CEO	44.46	60	44.46
12. Update public HMO register	CEO	44.46	30	22.23
13. Carry out risk assessment to determine date of next inspection. Update FLARE / Uniform.	CEO	44.46	30	22.23
TOTAL			690	514.30

*CEO – Community Enforcement Officer

APPENDIX C

HMO Licence Fee Comparison

Local Authority	HMO Licence Fee	Licence Renewal Fee	Licence Variation Fee
South Norfolk	£853.00	£500.00	£49.00
Broadland	£593.00 (Up to 5 units) £28.50 for each additional unit	£593.00	£28.50
Breckland	£399.00	No published charge	No published charge
North Norfolk	£525.00 (up to 6 units) £25.00 for each additional unit	No published charge	No published charge
Kings Lynn & West Norfolk	£685 (up to ten rooms) £39.37 for each additional unit	£596 (up to 10 rooms, then £39.37 per additional room)	No published charge
Gt Yarmouth	£770.00 (up to 5 rooms, then £25.00 per additional room)	£770.00(up to 5, then £25.00 per additional room)	No published charge
Norwich City	£140.00 for a one year licence = £750 Over 5 years	£140.00	No published charge
Oxford City	£541.00 (£1,998.00 if unlicensed for over 12 weeks)	£490.00	No published charge
Cambridge City	Fee on application: £643. Fee on grant of licence: £326 = £969	£546	No published charge
Brighton & Hove Council	£683.00 (up to 6 occupants), prompted fee: £826.00	£392.00	No published charge
York City Council	£1,095.00	£795.00	No published charge
Lewes & Eastbourne Councils	£848.00 - £1000.00 based upon type of accommodation)	£595.00	No published charge
Peterborough	£750 Voluntary £900 Requested	No published charge	No published charge

UPDATE TO LOCAL DEVELOPMENT SCHEME

Report Author(s): Paul Harris
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Portfolio: The Economy and External Affairs

Ward(s) Affected: All

Purpose of the Report:

Amendments to the current Local Development Scheme to reflect the changes to the Greater Norwich Local Plan (GNLP) timetable and the introduction of the South Norfolk Village Clusters Housing Allocations Document.

Recommendations:

1. It is recommended that Cabinet recommends Council to approve the proposed amendments to the current, May 2019, Local Development Scheme.

1 SUMMARY

- 1.1 The Local Development Scheme (LDS) sets out the timetable for preparing new local plans and summarises what they are to contain. This report sets out amendments to the current May 2019 Local Development Scheme (LDS) regarding:

- the emerging Greater Norwich Local Plan (GNLP) timetable;
- the addition of a separate South Norfolk Village Clusters Housing Allocations document.

It is anticipated that the GNLP will be adopted in late 2022, with the South Norfolk Village Clusters document also adopted in late 2022 or early 2023.

2 BACKGROUND

- 2.1 It is a legislative requirement for the Council to publish a Local Development Scheme and to keep this up to date under section 15 of the Planning and Compulsory Purchase Act, as amended by the Localism Act. The last update to the LDS (May 2019) was agreed by Council on 15 July 2019. This can be viewed at: <https://www.south-norfolk.gov.uk/residents/planning-and-building/planning-policy/local-development-scheme>.

3 CURRENT POSITION/FINDINGS

- 3.1 As part of the work on the emerging Greater Norwich Local Plan (GNLP) it has become evident that amendments are needed to the timetable for its production and consequently the LDS. These amendments are as a result of the need to: ensure full consideration is given to the issues raised through the draft plan consultation; produce additional or update evidence; and, undertake a further focused consultation, which is timetabled for November-December 2020. The LDS (Appendix A) has been updated in accordance with the new timeline. The new timetable sees the document adopted in November/December 2022.
- 3.2 The draft GNLP also included the separation of the sites in the Village Clusters in South Norfolk into a separate Local Plan: the South Norfolk Village Clusters Housing Allocations document. The 18 February Regulation and Planning Policy Committee considered an initial paper on the production of this document, including an indicative timetable. A further report to the Regulation and Planning Policy Committee on 19 May identified a two month delay to this initial timetable. The project plan has been considered further in the intervening period. The delay to the plan is now expected to be longer than originally identified in May.
- 3.3 Delays to the overall timetable for the South Norfolk Village Clusters Housing Allocations document are the result of a number of interrelated factors, these include: the move to remote-working in light of the Covid-19 pandemic; extensions of time limits for promoter responses for the same reasons; the processing of existing site information proving more complicated than originally anticipated; a

longer than expected timetable for the agreement of site assessment protocols; time for the mobilisation of the remote-working site assessment team; a higher than expected number of sites to assess and, in part as a knock on from the above factors, delays to the procurement of the Sustainability Appraisal consultant.

- 3.4 The new LDS for the Village Clusters document would result in a Regulation 18 consultation being begun in February/March 2021, publication of a Regulation 19 consultation alongside or shortly after the same stage for the GNLP in September/October 2021 and Submission to the Secretary of State for independent examination in November/December 2021. This would allow for adoption of the document alongside or shortly after the GNLP in December 2022/January 2023. It should be noted that it is not possible for the South Norfolk Village Clusters Housing Allocation document to progress more quickly than the Greater Norwich Local Plan.

4 PROPOSED ACTION

- 4.1 To ensure that the latest timetable for the production of the GNLP and South Norfolk Village Cluster Housing Allocation Document is properly reflected in the LDS, it is recommended that the document be updated in accordance with the current timetable for the production of both documents.

5 OTHER OPTIONS

- 5.1 Failure to update the LDS would mean that would not be compliant with the Localism Act, with implications for the soundness and legal compliance of the Local Plan documents.

6 ISSUES AND RISKS

- 6.1 **Resource Implications** – Production and publication of the revised LDS is within the normal Place Making Team resources. The work on the GNLP is resourced under the arrangements for the Greater Norwich Development Partnership and further dedicated budget has been made available for the Village Clusters document for 2020/21 and 2021/22.

- 6.2 **Legal Implications** – Not having an up-to-date LDS would conflict with the Localism Act (2011) and result in emerging Local Plan documents not being 'sound' and legally compliant.

- 6.3 **Equality Implications** – In terms of the Equalities Act 2010 requirements, the LDS is not a policy, but is the document that sets out the timetable for the production of Development Plan Documents, in accordance with the legal requirements. As such, it does not itself impact on equalities. The timetable allows sufficient time for community engagement, as required under the Council's Statement of Community Involvement (SCI). The Development Plan Documents will themselves be subject to equalities impact assessment.

- 6.4 **Environmental Impact** – None

6.5 **Crime and Disorder** – None

6.6 **Risks** – None

7 CONCLUSION

7.1 During the process of preparing the Greater Norwich Local Plan (GNLP) it has become evident that amendments are needed to the timetable for its production and consequently also to the LDS. For the reasons set out in paragraphs 3.2 – 3.4 above, it has been agreed that a separate South Norfolk Village Clusters Housing Allocations Document will be produced, which also needs to be reflected in the LDS.

8 RECOMMENDATIONS

8.1 It is recommended that Cabinet recommends Council to approve the proposed amendments to the current Local Development Scheme.

Background Papers

None

DRAFT Local Development Scheme for South Norfolk

July 2020



Contents

1. Introduction
2. The Adopted Local Plan
3. The LDS Programme
4. Local Development Document Profiles
5. Other Documents related to the Development Plan

Appendix 1 – South Norfolk Local Development Scheme Timetable

Appendix 2 – Details of Existing Local Plan Documents

DRAFT

1. Introduction

- 1.1 The Council is required to prepare a *Local Development Scheme* (LDS) under the Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011). The LDS is essentially a project plan which identifies, amongst other matters, the Development Plan Documents which, when prepared, will make up the Local Plan for the area. It must be made publicly available and kept up-to-date. This enables the public and stakeholders to find out about emerging planning policies in their area, the status of those policies, what the documents will contain, and the timescales for their production.
- 1.2 In addition to providing information about the development plan documents in preparation, this LDS also provides detail about the preparation of Supplementary Planning Documents (SPDs), and adopted local development documents, to provide a full account of the planning policies operating in South Norfolk. This document also refers to key documents supporting the production of the Local Plan.
- 1.3 The South Norfolk LDS does not cover the Broads Authority areas within South Norfolk, as the Broads Authority is a Local Planning Authority in its own right and produces its own LDS.

2. The Adopted Local Plan

Development Plan Documents (DPDs)

- 2.1 Development Plan Documents or DPDs, now more usually called 'Local Plans', are the formal policy documents which make up the statutory development plan for South Norfolk. Once adopted, these have full legal weight in decision making. The Council's decisions to approve or refuse any development which needs planning permission must be made in accordance with the policies in the development plan, unless material considerations indicate otherwise.
- 2.2 The currently adopted development plan for South Norfolk comprises the following documents:
- *Joint Core Strategy for Broadland, Norwich and South Norfolk* (the JCS), adopted in March 2011, with amendments adopted January 2014;
 - *South Norfolk Site Specific Allocations and Policies Document*, adopted October 2015;
 - *South Norfolk Development Management Policies Document*, adopted October 2015;
 - *Wymondham Area Action Plan*, adopted October 2015;
 - *Long Stratton Area Action Plan*, adopted May 2016;
 - *Cringleford Neighbourhood Plan*, made February 2014;
 - *Mulbarton Neighbourhood Plan*, made February 2016; and
 - *Easton Neighbourhood Plan*, made December 2017;

Further details on the above can be found in Appendix 2.

- 2.3 Each document (apart from Neighbourhood Development Plans) must be prepared in accordance with a nationally prescribed procedure set out in the Town and Country Planning (Local Planning) (England) Regulations 2012, as amended. At key stages of plan-making there is an opportunity for the public to comment on emerging planning policies and proposals in the documents. At the end of the process, development plan documents must be submitted to the Secretary of State and be independently examined by a government appointed inspector to assess their soundness and legal compliance before they can be adopted by the Council and come into force.
- 2.4 Certain other documents must be published alongside each Development Plan Document, including:
- a *sustainability appraisal (SA) report* of the DPD at each stage (a *sustainability appraisal scoping report* is prepared and consulted on at the start of the process to set out what sustainability issues and objectives the SA should cover and what evidence it will use);
 - a *policies map*, setting out the DPD's policies and proposals on a map base (if relevant);
 - a *statement of consultation* summarising public representations made to the plan and how they have been addressed (called the "Regulation 22(c) statement");
 - copies of any representations made;
 - any other supporting documents considered by the council to be relevant in

- preparing the plan;
- an *adoption statement* and *environmental statement* (when the plan is adopted).

Supplementary planning documents (SPDs)

- 2.5 Supplementary planning documents (SPDs) help to support and explain in more detail how the Council will implement particular policies and proposals in the local plan. SPD can also take the form of masterplans or detailed design briefs for sites allocated in the Local Plan. SPDs can be reviewed frequently and relatively straightforwardly to respond to change.
- 2.6 The National Planning Policy Framework (NPPF) and Planning Practice Guidance (PPG) state that SPDs should be used '*where they can help applicants make successful applications or aid infrastructure delivery*', and should not be used to add unnecessarily to the financial burdens on development. SPDs should clarify and amplify existing policy, not introduce new policy or include excessively detailed guidance.
- 2.7 Current SPDs adopted by the Council are:
- *South Norfolk Place-Shaping Guide SPD (September 2012);*
 - *Guidance for the delivery of a Food and Agriculture Hub for Broadland and South Norfolk SPD (July 2014); and*
 - *Guidelines for Recreation Provision in New Residential Developments SPD (September 2018)*

3. The LDS Programme

- 3.1 With an adopted Local Plan for the whole of South Norfolk's planning authority area, the focus is now on maintaining an up to date Plan in accordance with Government requirements. The focus of this work is on the replacement of the oldest part of the Local Plan, the JCS, with a new Greater Norwich Local Plan (GNLP). As well as replacing the JCS the GNLP will also allocate the sites to deliver future growth, replacing sections of the South Norfolk Site Specific Policies and Allocations Document, and potentially some elements of the Wymondham and Long Stratton Area Action Plans, The South Norfolk Development Management Policies Document and some Neighbourhood Plans. The timetable for producing the GNLP set out in this LDS has been adjusted to reflect the delay of the Regulation 18 consultation on a draft Plan from September 2019 to January 2020. Also reflected are the plans for an additional Regulation 18 Consultation in November/December 2020 and consequential amendments to the overall timetable to GNLP to November/December 2022. The updated profile for the GNLP is set out in Section 4 below.
- 3.2 The consultation on the draft GNLP also marked the separation of the sites in the Village Clusters in South Norfolk into the South Norfolk Village Clusters Housing Allocations Document. During production of the Regulation 18 draft GNLP it became apparent that the choice of sites available in the village clusters across South Norfolk was not producing the potential options that would successfully address the requirements in those settlements. Some parishes had few sites submitted, often detached from the settlement or with other issues raised via the initial Housing and Economic Land Availability Assessment (HELAA), consequently leading to a potentially greater concentration of development in other settlements. As such a call for additional sites in Village Clusters was made through Policy 7.4 of the draft GNLP. With its more extensive rural area, significantly larger number of small settlements/parishes, and consequently larger requirement for village cluster allocations than Broadland, the work to address the Village Clusters in South Norfolk is now being undertaken in a separate document. The overall strategic requirements, including the total number of new dwellings to be allocated in the Village Clusters, will continue to be set out in the GNLP; consequently, the timetable, set out in the Document Profile below, will follow closely behind the GNLP timetable with adoption timetabled for November 2022.

4. Local Development Document Profiles

Document Title	Greater Norwich Local Plan (GNLP)
Role and content	<p>To provide the strategic vision, objectives and strategy for future development of the Greater Norwich area, to accommodate objectively assessed needs for growth and to identify specific sites for development in the period to 2038.</p> <p>The areas to which the policies apply will be shown on the Policies Map.</p> <p>The GNLP provides the strategic context for the preparation of any lower level policy documents prepared by the three constituent district planning authorities, such as Development Management Policies or Area Action Plans.</p>
Status	Development Plan Document/Local Plan
Conformity	The document must conform with the National Planning Policy Framework (NPPF) and should also accord with standing advice in national the Planning Practice Guidance (PPG) and other Government Policy Statements.
Geographical coverage	The three districts of Broadland, Norwich and South Norfolk, excluding the parts of those districts falling within the Broads Authority Executive Area.
Joint working arrangements (if any)	The plan will be prepared jointly with Broadland District and Norwich City councils, working with Norfolk County Council.
Relationship with adopted local plan(s)	<p>The GNLP will supersede</p> <ul style="list-style-type: none"> a) the Joint Core Strategy (JCS) for Broadland, Norwich and South Norfolk (adopted March 2011, amendments adopted 2014); and b) elements of the South Norfolk Site Specific Allocations and Policies Document (October 2015); and c) those other documents identified in the LDSs for Norwich City and Broadland District Councils <p>The Wymondham Area Action Plan (October 2015), the Long Stratton Area Action Plan (October 2015) and the South Norfolk Development Management Policies Document (October 2015) will not be superseded, although there may be elements of the GNLP that add to, amend or replace parts of those documents.</p>

	The GNLP will be a component of the overall South Norfolk Development Plan, in conjunction with the retained documents and any 'made' Neighbourhood Plans.
Evidence required <i>May include selective reviews of the evidence base already in place for the adopted Local Plan and new or updated studies where necessary.</i>	<p>Includes (but may not be limited to):</p> <ul style="list-style-type: none"> • Strategic Housing Market Assessment (SHMA); • Housing and Economic Land Availability Assessment (HELAA); • New Settlement Topic Paper • Employment, Town Centre and Retail Study; • Viability Study • Infrastructure study; • Health Impact Assessment; • Strategic flood risk assessment (SFRA); • Water Cycle Study; • Landscape Character Assessment; • Green infrastructure study; and • Sport and recreation study. <p>The plan must be accompanied by a Sustainability Appraisal (SA) and Habitats Regulation Assessment (HRA) which will draw on, and themselves be part of, the evidence base</p>
Production milestones (Timetable consistent with that for Norwich City and Broadland District Councils)	
Commence document production.	December 2015
Call for sites – invitation to put forward specific development sites for inclusion in the GNLP.	May-July 2017
Commission, prepare and publish evidence studies required to support the GNLP.	March 2016 – January 2019
Publish initial Growth Options and Site Proposals (Regulation 18) for consultation.	January-March 2018
Publish the New, Amended and Small Sites (Regulation 18) for consultation.	October – December 2018
Publish Draft Plan (Regulation 18) for consultation.	January – March 2020

Publish Focused Consultation (Regulation 18) for consultation.	November – December 2020
Publish Pre-Submission Plan (Regulation 19)	August – September 2021
Formal submission of GNLP to Secretary of State (Regulation 22).	October – November 2021
Public Hearings start	February - March 2022
Adoption of the Greater Norwich Local Plan.	November - December 2022
Arrangements for Production and Review	
South Norfolk Governance	<p>Led by Place Making</p> <p>Agreement at each stage through Cabinet and Full Council approval at Regulation 19, 22 and adoption.</p>
How will stakeholders and the community be involved?	The Council will accord with the approved Statement of Community Involvement (SCI)
How will the document be reviewed?	<p>The document will be monitored and reviewed as part of the Annual Monitoring Report process.</p> <p>In accordance with the NPPF, Local Plans should be reviewed every 5 years. Such a review will need to determine whether any significant matters have arisen, for example through changes to national policy or the identification of additional development needs, that mean the Plan needs to be updated or replaced.</p> <p>The current timetable proposes adoption of the GNLP in November - December 2022, approximately 5 years from commencement of plan production. Consequently, the first review is scheduled for late 2027.</p>

Document Title	
South Norfolk Village Clusters Housing Allocations document	
Role and content	To allocate housing sites in the South Norfolk village cluster settlements, sufficient to meet the minimum requirements set out in the Greater Norwich Local Plan (GNLP).
Status	Development Plan Document/Local Plan
Conformity	The document must conform with the National Planning Policy Framework (NPPF) and the GNLP and should also accord with standing advice in national the Planning Practice Guidance (PPG) and other Government Policy Statements.
Geographical coverage	<p>Village Cluster parishes* in South Norfolk Council, excluding the parts of those parishes falling within the Broads Authority Executive Area.</p> <p>* All parishes, except: Chedgrave; Colney; Costessey; Cringleford; Diss; Easton; Framingham Earl; Framingham Pigot; Hethersett; Hingham; Loddon; Long Stratton; Poringland; Redenhall w Harleston; Trowse w Newton; and Wymondham. The document also excludes housing sites in: parts of Roydon and Heywood that relate to the settlement of Diss; parts of Tharston & Hapton that relate to the settlement of Long Stratton; and parts of Caistor St Edmund & Bixley and Stoke Holy Cross that relate to the settlement of Poringland/Framingham Earl.</p>
Joint working arrangements (if any)	None.
Relationship with adopted local plan(s)	The South Norfolk Village Clusters Housing Allocations document will supersede elements of the South Norfolk Site Specific Allocations and Policies Document (October 2015).
Evidence required <i>May include selective reviews of the evidence base already in place for the adopted Local Plan and new or updated studies where necessary.</i>	<p>Will include:</p> <ul style="list-style-type: none"> • Housing and Economic Land Availability Assessment (HELAA) <p>The document will draw largely on the evidence base that supports the strategic policies in the GNLP but will in certain instances require specific updates/additional work. This includes (but may not be limited to):</p> <ul style="list-style-type: none"> • Strategic Housing Market Assessment (SHMA); • Viability Study; • Infrastructure study; • Health Impact Assessment; • Strategic flood risk assessment (SFRA); • Water Cycle Study; • Landscape Character Assessment; • Green infrastructure study; and • Sport and recreation study. <p>The plan must be accompanied by a Sustainability Appraisal (SA) and Habitats Regulation Assessment (HRA) which will</p>

	draw on, and themselves be part of, the evidence base
Production milestones	
Commence document production.	January 2020
Call for sites – invitation to put forward specific development sites for inclusion as part GNLP Regulation 18.	January to April 2020
Publish Draft Plan (Regulation 18) for consultation.	February/March 2021
Publish Pre-Submission Plan (Regulation 19)	September/October 2021
Formal submission of GNLP to Secretary of State (Regulation 22).	November/December 2021
Public Hearings start	March/April 2022
Adoption of the South Norfolk Village Clusters Housing Allocations Plan.	December 2022/January 2023
Arrangements for Production and Review	
South Norfolk Governance	<p>Led by Place Making</p> <p>Agreement at each stage through Cabinet and Full Council approval at Regulation 19, 22 and adoption.</p>
How will stakeholders and the community be involved?	The Council will accord with the approved Statement of Community Involvement (SCI)
How will the document be reviewed?	<p>The document will be monitored and reviewed as part of the Annual Monitoring Report process.</p> <p>In accordance with the NPPF, Local Plans should be reviewed every 5 years. Such a review will need to determine whether any significant matters have arisen, for example through changes to national policy or the identification of additional development needs, that mean the Plan needs to be updated or replaced.</p>

5. Other documents related to the Development Plan Documents

- 5.1 Various other documents are required alongside the local plan, but do not form part of it. A **Statement of Community Involvement (SCI)** shows how the council intends to involve the community in plan preparation and planning decision making. The South Norfolk SCI was updated in June 2019 to reflect changes to national legislation and will be kept under regular review.
- 5.2 To ensure that plans and policies are effective, an **Annual Monitoring Report (AMR)** must also be prepared to record progress on implementing the local plan and whether local plan targets are being met. From 2011, the AMR for South Norfolk has been incorporated within a combined monitoring report for the Joint Core Strategy prepared jointly by the Greater Norwich authorities.
- 5.3 The **Norfolk Strategic Planning Framework (NSPF)** is a non-statutory strategic policy statement which sets broad targets and priorities for the next round of statutory Local Plans for individual districts and wider areas in Norfolk, facilitating joint working across district boundaries and helping to fulfil the statutory Duty to Co-operate. Consultation on the initial NSPF took place from July-September 2017, and the document was subsequently endorsed by all of the Norfolk authorities. During 2019 it was updated to reflect the requirements of the revised NPPF, in particular (a) so that it fulfils the remit of a 'Statement of Common Ground' and (b) so that it reflects the new 'standard' housing methodology and Version 2 was endorsed by all of the authorities in late 2019. In order to keep the document relevant and up to date, Version 3 of the NSPF is currently being prepared for endorsement in late 2020.
- 5.4 Local Planning Authorities must to publish and maintain a statutory **Brownfield Land Register**. The register is intended to include details of any previously developed land suitable for housing, which is capable of accommodating five or more dwellings. The first Register was prepared for December 2017 and will be reviewed annually thereafter. The Brownfield Register is prepared jointly by the Greater Norwich authorities.

Appendix 1

South Norfolk Local Development Scheme Timetable - July 2020

	2019												2020												2021												2022												2023		
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M												
Greater Norwich Local Plan																																																			
South Norfolk Village Clusters Housing Allocations Document																																																			
Policies Map - Update																																																			

Legend

- Preparation of document/evidence gathering to inform Reg.18 consultation
- Regulation 18 (or equivalent for SPD) Consultation
- Pre-Submission Publication of Plan (Regulation 19)
- Submission to Secretary of State for Independent Examination (Regulation 22)
- Examination
- Adoption of Plan

Appendix 2

The existing adopted Local Plan

Several planning documents are already in place to guide the council's decisions on planning applications: together these form the existing adopted Local Plan for South Norfolk. As these documents are already in use, they are not part of the formal LDS schedule set out in Appendix 1.

The documents making up the Local Plan must conform to national planning policy in the National Planning Policy Framework (NPPF), supported by national Planning Practice Guidance (PPG).

The Local Plan documents fit into a hierarchy with broad, strategic policies at the top and more detailed policies interpreting the strategic approach at a district or smaller area level.

For the Greater Norwich area (which includes South Norfolk), the adopted **Joint Core Strategy for Broadland, Norwich and South Norfolk** (JCS) is at the top of the hierarchy. The JCS was adopted in March 2011, with amendments adopted in January 2014. It is a strategic planning document prepared jointly by the three constituent districts in Greater Norwich and provides a long-term vision, objectives and spatial strategy for development of the area to 2026.

The **Site Specific Allocations and Policies Document** identifies and sets out policies for site allocations in South Norfolk indicating where development is expected to occur between now and 2026. Alongside the Wymondham Area Action Plan, the Cringleford Neighbourhood Plan and the Long Stratton Area Action Plan, it responds to the requirement of the JCS to identify additional sites for approximately 16,000 new homes in the district by 2026, over and above existing housing commitments at the JCS base date of April 2008. It also identifies opportunities to accommodate the overall levels of growth in jobs and services anticipated over that period and to ensure that these can be delivered and located sustainably. It will also help to deliver the community facilities and green infrastructure and elements of the sustainable transport network required to support new development as it occurs, in accordance with the JCS.

The **Development Management Policies Document** sets out a range of more detailed policies applying throughout South Norfolk which will be used in the council's assessment of development proposals and to guide future council decisions on applications for planning permission. Policies cover a range of topics, building on the national policy principles for sustainable development set out in NPPF and the strategic policies and objectives of the JCS. In certain cases, the policies also set out local criteria and standards for different kinds of development.

The **Wymondham Area Action Plan** guides development in the town up to 2026. The plan provides for at least 2,200 new homes and 20 hectares of

employment land, in the context of: protecting and enhancing a 'Kett's Country Landscape' to strengthen the role of the Tiffey Valley; maintaining the strategic separation between Wymondham and Hethersett; protecting the landscape setting of the town and abbey; and creating connections and linkages between green infrastructure.

The **Long Stratton Area Action Plan** will deliver at least 1,800 new dwellings, additional employment land, alongside the long-sought Long Stratton bypass to reduce congestion and pollution through the village in peak hours and improve connectivity along the A140 corridor.

The Localism Act 2011 allows for community led **Neighbourhood Development Plans** to be brought forward to complement the adopted Local Plan. There are existing Neighbourhood Plans for Cringleford, Mulbarton and Easton. Neighbourhood Areas, the first stage of developing a Neighbourhood Plan, have been formally agreed for the following: Dickleburgh; Diss & District (Diss, Burston & Shimpling, Roydon, Scole, and three parishes in Mid-Suffolk); Long Stratton, including parts of Tharston Parish; Poringland; Starston; Trowse w Newton; Tasburgh; Tivetshall and Wymondham.

COVID 19 RESPONSE – NORFOLK-WIDE FIGHTING FUND

Report Author(s): Rodney Fincham, Assistant Director – Finance
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Portfolio Holder: Finance

Ward(s) Affected: All wards

Purpose of the Report: This paper asks Cabinet to support allocating £150,000 to the Norfolk-Wide Fighting Fund.

Recommendation

That Cabinet recommends the following to Council:

That authority be delegated to the Assistant Director Finance, in consultation with the Leader, to allocate £150,000 to the Norfolk-Wide Fighting Fund.

1 FIGHTING FUND PROPOSAL

1.1 The Norfolk Leaders have discussed a proposal to establish a “fighting fund” to support Local Authorities and local businesses to adapt, restart and recover from the COVID-19 emergency situation across Norfolk.

1.2 The proposal is that contributions to the Fund are sought as follows.

	Value £m
19-20 Business Rates Pool	3.7
Norfolk County Council contribution	1.0
District Council contributions (£150k each)	1.0
NALEP Capital input (Norfolk allocation)	2.0
Total	7.7

1.3 The County Council is prepared in principle to add a minimum of £1m to the fund, and would be looking for this to be matched by the district councils collectively.

1.4 This fund could act as a catalyst for NCC and other LAs to add to and to attract a Capital contribution from New Anglia LEP. It could also make the case to Government to support recovery by matching the local pot.

1.5 If in principle agreement is secured officers will look at the governance agreement with MHCLG and develop an appropriate set of rules to govern this component of the funds and the criteria within which it will operate.

2 COVID 19 GRANT FUNDING

- 2.1 The 'Financial Implications of Covid 19 Update' report considered by the Emergency Committee on 7 May reported that SNC had received two tranches of emergency funding as follows:

On 20 March, the Government announced £1.6bn of additional funding to support local authorities in responding to the Covid-19 pandemic.

The majority of this funding was directed to authorities with social care responsibilities. SNC received £54,974 on 27 March,

On 28 April, the Government announced a further £1.6bn of funding to support local authorities in responding to the Covid-19 pandemic. This time funding is being distributed on a per capita basis, with a 65:35 split between county and district authorities. SNC received £1,409,952 on 14 May.

- 2.2 Since then a further support package was announced on 2 July. This provides for:
- A further £500 million of funding to cover local authority spending pressures. Of which SNC received £201,003 on 3 August.
 - A co-payment mechanism for irrecoverable Sales, Fees and Charges income, with the Government covering 75% of losses beyond 5% of planned income – Claim details currently awaited.
 - Phased repayment of Collection Fund deficits over the next 3 years.
 - A commitment to determine what support is needed to help councils meet the pressures of irrecoverable tax income at the Spending Review.

3 ISSUES AND RISKS

- 3.1 Resource Implications – The £150,000 contribution can be funded from the third tranche of Covid 19 Emergency Funding received from central Government.
- 3.2 Legal Implications – A contribution to a Norfolk-wide fighting fund is permitted expenditure.

4 RECOMMENDATIONS

- 4.1 That Cabinet recommends the following to Council:
- That authority be delegated to the Assistant Director Finance, in consultation with the Leader, to allocate £150,000 to the Norfolk Wide Fighting Fund.

Risk Management Policy and Strategy

Report Author(s): Faye Haywood
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Portfolio: Finance and Resources

Ward(s) Affected: All

Purpose of the Report:

At Appendix 1, this report includes the Risk Management policy for Cabinet consideration, input and approval prior to full Council approval.

Recommendations:

To consider and approve the suggested Risk Management Policy and Strategy before recommending to Council for approval.

1 SUMMARY

- 1.1 On 22 November 2019, The Internal Audit team presented Finance, Resources Audit and Governance Committee with the results of the risk maturity assessment that had been undertaken to establish the adequacy of the risk management framework at SNC. A recommendation was raised and supported by the Committee for the Risk Management Policy to be updated revised in line with best practice. The updated and revised Risk Management Policy can now be found at **Appendix 1**.
- 1.2 At the FRAG meeting 17 July 2020 the Policy was presented to the Committee and following suggested amendments was endorsed for Cabinet approval.

2 BACKGROUND

- 2.1 A risk management policy is a fundamental element of the risk management framework and contains the process and governance arrangements that all staff are expected to follow. South Norfolk has an existing Risk Management Strategy documents in place however it has not been reviewed recently and requires revision.
- 2.2 The Risk Maturity assessment carried out at South Norfolk and Broadland by Internal Audit in 2019 highlighted that both Council's approach to risk management should be revisited to take best practice into consideration and to enhance effectiveness.
- 2.3 This Risk Management Policy has therefore been drafted to incorporate the recommendations raised by the Risk Maturity assessment and includes the following key features:
 - One policy now outlines the Risk Management framework.
 - A process for the management of risk is outlined.
 - Roles and responsibilities and governance arrangements for the reporting of risk are outlined.
 - The risk appetite statement and accompanying scoring system is provided.
 - Guidance is provided on the scoring of risk in line with the risk appetite.
- 2.4 The policy and strategy has been written with the Transformation, Strategy and Programmes Team who are responsible for facilitating the risk management framework and reporting of risk at both Council's endorsed by both the Corporate Management and Leadership Team and the Finance, Resources Audit and Governance Committee.

3 PROPOSED ACTION

- 3.1.1 For Cabinet to review and approve the proposed Risk Management Policy and Strategy for Council approval.

4 OTHER OPTIONS

- 4.1 Not applicable for this report.

5 ISSUES AND RISKS

- 5.1 **Resource Implications** – no implications
- 5.2 **Legal Implications** – no implications
- 5.3 **Equality Implications** – no implications
- 5.4 **Environmental Impact** – no implications
- 5.5 **Crime and Disorder** – no implications
- 5.6 **Risks** – A risk management policy and strategy is a fundamental element of the risk management framework and contains the process and governance arrangements that all staff are expected to follow. Without an effective policy and strategy in place, the Council is at risk of being unable to demonstrate that it has designed a process for effectively managing risks that threaten the achievement of its objectives.

6 RECOMMENDATIONS

To consider and approve the suggested Risk Management Policy and Strategy before recommending to Council for approval.

Background Papers

None

Appendices

Appendix 1 – Risk Management Policy and Strategy

Risk Management Policy and Strategy

Contents

1. Introduction
2. Purpose of the Policy
3. Accountabilities, responsibilities and framework
4. Risk Registers
5. Risk Management Life Cycle
6. Risk Identification
7. Risk Definition and Description
8. Risk Ownership
9. Risk Assessment
10. Target Risk Assessment
11. Risk Appetite
12. Risk Mitigation and Management
13. Opportunity Risk
14. Reviewing and Reporting
15. Risk Appetite
16. Staff Training and Development
17. Links with Other Processes
18. Appendices

Issue Date	1 April 2020	Version 1
Review Date	1 April 2022	
Author: Internal Audit		
UNISON Sign Off		
Management Sign Off		

1. Introduction

- 1.1 Everything we do as a Council involves a degree of risk whether it is innovative projects, purchasing a new system or equipment, determining priorities, or making decisions about the future. It is therefore an essential part of good governance that we manage these risks effectively.
- 1.2 Risk is considered as part of the business planning processes to ensure that proposed objectives are ambitious and achievable and continuously monitored thereafter to ensure they are being effectively managed.
- 1.3 This risk management policy explains how the Council will ensure that it is managing risk effectively to increase the likelihood that business objectives will be achieved.
- 1.4 Effective risk management helps us to:
 - Successfully achieve corporate priorities and objectives by capitalising on opportunities and minimising threats;
 - Strengthen corporate governance and the internal control framework;
 - Improve partnership arrangements;
 - Embeds risk management into corporate processes including financial and strategic planning.
- 1.5 Risk is defined as **‘the effect of uncertainty on objectives’**.
- 1.6 Risk is an event, which if it crystallises, could adversely impact on the work of the Council. It may be a one-off event, repeated events or progressive continuum.
- 1.7 Risk Management is defined therefore as **‘the culture, policies and processes directed towards realising opportunities whilst managing threats’**. Its purpose is not to eliminate risk, but to understand it so as to take advantage of the upside and minimise the downside.
- 1.8 The internal control framework must therefore include arrangements for identifying, assessing and managing internal and external risks. Risk management is also closely linked to business planning and performance processes.
- 1.9 **Scope** - This policy applies to all employees, including those on temporary contracts and fixed term appointments and agency workers, members and anyone that works with the Council's to achieve objectives.
- 1.10 Throughout this document the term 'FRAG' is used to refer to the Finance, Resources Audit and Governance Committee at South Norfolk Council.

2. Purpose of the Policy

2.1 The aim of this document is to:

- Introduce and promote an Enterprise Risk Management style Framework;
- Develop a 'whole risk' approach to threats facing the Council;
- Introduce appropriate processes to assist managers in the identification and management of risk in their areas of responsibility.

2.2 The key objective of this guide is to:

- Develop a robust approach to identification and understanding of risk facing the Council;
- Minimise threats facing the delivery of Council objectives;
- Establish practices and procedures to manage risk and maximise opportunities;
- Identify resources required to manage, control and evaluate risks.

3. Accountabilities, responsibilities and framework

3.1 Cabinet has ultimate responsibility for:

- Setting the culture for risk management at the Council.
- Approving this Policy
- For developing and approving Risk Appetite

3.2 Detailed oversight of the risk management process is delegated to FRAG. Cabinet will seek assurance from FRAG on the adequacy and effectiveness of the risk management process.

3.3 FRAG is responsible for scrutinising the scope and effectiveness of the risk management systems in place. Overseeing the implementation of the risk management policy on behalf of Cabinet. FRAG uses a range of assurances to satisfy itself that a proper system of risk management and internal control is maintained.

3.4 The Managing Director is responsible for ensuring proper systems of financial control, risk management, legal and regulatory compliance are established and maintained, and that regular reports on these are provided to Cabinet.

3.5 The Corporate Management Leadership Team (CMLT) are responsible for:

- Identifying and evaluating the significant risk faced by the Council in achieving objectives;
- Reviewing risk responses from management and ensuring that they receive reports on

risks above agreed limits;

- Providing adequate information in a timely manner to Cabinet on the status of risks and controls.
- 3.6 The Transformation, Strategy and Programmes Team are responsible for the development of the risk management policy, the implementation of the strategic risk management process and strategic risk management reporting.
- 3.7 The Head of Internal Audit is responsible for the development of the risk-based Internal Audit Programme and ensuring that FRAG has the required assurance on the management of risk and the effectiveness of internal control.
- 3.8 Managers are responsible for identifying and evaluating risks that threaten the achievement of objectives, for building a risk aware culture within their department, ensuring staff complete training where appropriate and understand how to identify and manage risk. Managers are responsible for reporting and escalating risks in line with this Policy and are responsible for the implementation of mitigating actions in respect of each risk.
- 3.9 **Appendix A** sets out the Council's structure for risk management.

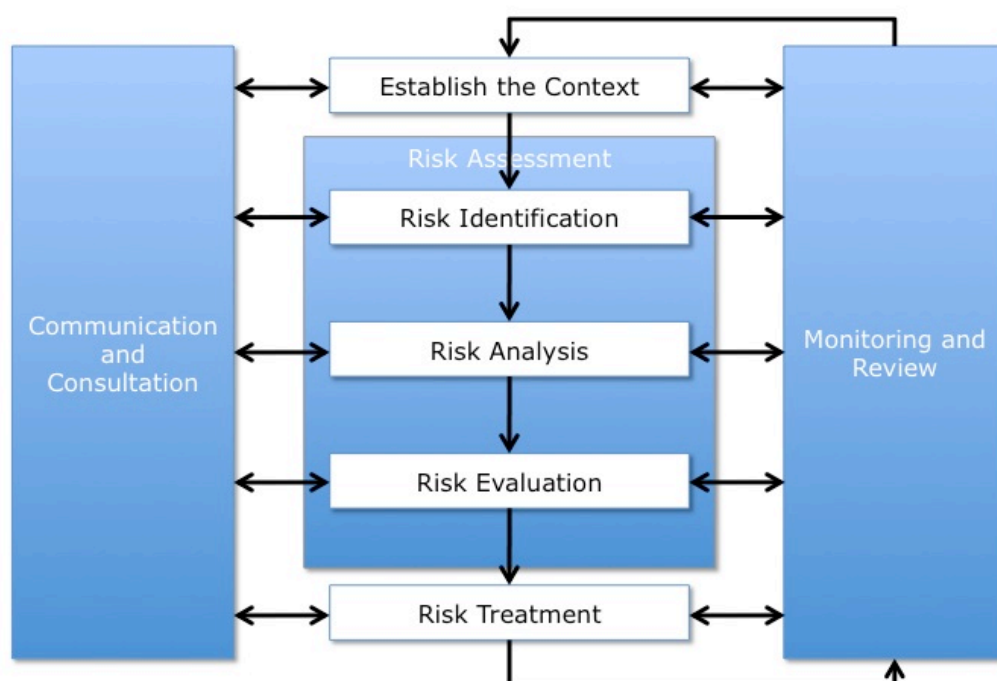
4. Risk Registers

- 4.1 The achievement of the Strategic Plan and subsequent in year Delivery Plans will carry several risks. The risks that could prevent the Council from achieving its objectives are described as strategic risks and are recorded in the Strategic Risk Register.
- 4.2 Strategic risks are those risks which could have organisational-wide impacts and are cross cutting or strategic in nature. Risks that could impact the work of the Council but would not have a strategic impact are described as operational risks and are recorded within directorate or project risks registers.
- 4.3 To facilitate the management of risk throughout the organisation the Council maintains a system of risk registers.
- **The Strategic Risk Register (SRR)** records the strategic risks facing the Council. These are risks that could prevent the Council from achieving its Strategic Plan and objectives. The risks on the SRR are identified through CMLT's assessment of the risks to the Council's Strategic Plan. These risks are reviewed by Cabinet and FRAG. Operational risks that are considered to have a strategic impact outside of appetite should be escalated on the SRR. The SRR is maintained by the Strategy and Programmes Team on behalf of the CMLT and is presented in its entirety to Cabinet and to FRAG three times a year.

- **Directorate Risk Registers (DRR)** provides a record of the significant operational risks facing each directorate. Each Director and Assistant Director takes responsibility for risks in their own area of work. Any risks deemed significant should be recorded in the risk register and monitored to ascertain if the impact/likelihood is increasing or decreasing. Managers at all levels are encouraged to add significant risks to the Directorate Register using the [Risk Identification Guidance](#) and following the prescribed template on the risk management intranet pages to determine the most appropriate course of action. Action could either include; closely monitoring the risk or escalating the risk to the SRR if the likelihood/impact is scored outside of the appetite as agreed by the relevant Assistant Director.
 - **Project Risk Registers** provide a record of the risks that have been identified from individual projects. Project risks are escalated to either Directorate risk registers via the relevant Assistant Director or to the SRR if outside of the agreed risk appetite. Project leads are responsible for maintaining the project risk registers.
- 4.4 **Appendix C** provides an overview of how risks are escalated to the strategic risk register.

5. Risk Management Lifecycle

- 5.1 The lifecycle of managing risk at the Council ensures that risk registers at all levels remain live and comprises the following key elements:



6. Risk Identification

- 6.1 In order to manage risk, the Council needs to understand what risks it faces and be able to evaluate them. Identifying risks is the first step in building the risk profile. Care should be taken to avoid identifying risks that do not impact on the Council's aims and objectives. Incidents that have already materialised should be distinguished from risk.
- 6.2 Risks can originate from inside or outside of the Council. Tools and techniques such as; PESTLE, SWOT, brainstorming and workshops can be used to ensure that a full range of internal and external risks are considered and assessed accordingly. These could include risks such as changes in government policy, extreme climate events pandemics and business continuity threats.

7. Risk Definition and Description

- 7.1 Risks should be described in terms of the cause and consequence so that stakeholders can understand why they are of importance to the Council.

8. Risk Ownership

- 8.1 All risks on the SRR should be assigned to a member of CMLT as the owner.
- 8.2 Operational and Project risks should be assigned to an owner who has responsibility for ensuring that the risk is managed and monitored over time. A risk owner, in line with their accountability for managing the risk, should have sufficient authority to ensure that the risk is effectively managed.

9. Risk Assessment

- 9.1 Risk assessment is concerned with the measurement of identified risk. Risk is measured on two distinct scales:
- The likelihood of the risk event occurring (on a 1 to 5 scale), and
 - The impact of that risk event occurring (on a 1 to 5 scale).
- 9.2 The scores for each are then multiplied together to give a risk rating (on a 1-25 scale), which will form the basis for allocating resources for implementing risk control and mitigation activities.
- 9.3 Risk assessment and risk scores should be graded by using the risk scoring matrix provided at **section 11 page 8 of this policy in line with guidance given around Risk Appetite.**
- 9.4 The risk assessment should take into consideration the effectiveness of existing controls that are already in place that will have an impact on the likelihood and impact of the risk occurring.

- 9.5 Once risks have been assessed, the risk priorities for the Council will emerge. The greater potential exposure to the risk, the higher the priority required for addressing it. The highest priority risks (those that have the potential to have a strategic impact), should be given attention at the highest level i.e. CMLT and Cabinet.

10. Target Risk Assessment

- 10.1 If the identified risk requires mitigation due to it being outside of the appetite of the Council, actions will be identified that reduce the likelihood or impact of the risk. A second risk assessment should then take place to evaluate the risk exposure as if all the actions have been completed, reflecting how the planned actions would have reduced the overall risk rating.
- 10.2 The template for the register and assessment is provided on the Risk Management intranet pages.

11. Risk Appetite

- 11.1 Risk appetite is defined as: ‘the amount of risk an organisation is prepared to accept in pursuit of its objectives’. The principle recognises that risk cannot be reduced to zero and that mitigation will have both resource and cost implications.
- 11.2 When considering threats, the concept of risk appetite embraces the level of exposure which is considered tolerable and justifiable should it be realised. It is about comparing the cost (financial or otherwise) of containing the risk with the cost of the exposure should the exposure become a reality and finding an acceptable balance.
- 11.3 When considering opportunities, the concept embraces consideration of how much the organisation is prepared to actively put at risk in order to obtain the benefits of the opportunity.
- 11.4 The risk appetite of the Council is outlined by a risk appetite statement which is as follows:

South Norfolk and Broadland are both dynamic, innovative and commercially-minded Council's that empower staff to make well-rounded decisions and take proportionate risks within our boundaries based on intelligence, reason and insight, seizing opportunities to enhance the wellbeing of our communities, economy and staff, reimagining the role of local government.

- 11.5 The statement outlines both Council's approach to risk appetite and is accompanied by a risk scoring matrix which indicates whether the combined risk likelihood and impact score is above the appetite of the Council.
- 11.6 The appropriate approach for managing the risk is then highlighted depending on the combined score.

Risk Scoring Matrix		1	2	3	4	5
		Insignificant	Minor	Moderate	Significant	Severe
5	Expected	Medium 5	Medium 10	High 15	Very High 20	Very High 25
4	Highly Likely	Low 4	Medium 8	High 12	High 16	Very High 20
3	Likely	Low 3	Medium 6	Medium 9	High 12	High 15
2	Not Likely	Very Low 2	Low 4	Medium 6	Medium 8	Medium High 10
1	Rare	Very Low 1	Very Low 2	Low 3	Low 4	Medium 5
Very High 20-25		Risks scored here represent a severe threat to the delivery of the Council's objectives and service delivery and are outside of the risk appetite of the Council. Risks scored at this level should be treated as a priority and should either be reduced to a score within tolerance or removed. Reporting on progress will be required at Cabinet/FRAG and at CMLT until risk level is reduced to tolerance.				
High/Medium High 10-16		Risks scored here represent a significant threat to the delivery of the Council's objectives and service delivery and are outside the risk appetite. Action is required to reduce the rating to a score within tolerance. Reporting on progress is required at Cabinet/FRAG and CMLT until risk level is reduced to tolerance.				
Medium 5-10		Risks scored here represent a moderate threat to the delivery of the Council's objectives and service delivery and are within the risk appetite of the Council with some proportionate mitigation and regular monitoring required. These risks can be managed at operational/service level but regular management review of assurance on control effectiveness should occur. Routine reviews should also be carried out to ensure there is no change.				
Low 3-4		Risks here represent a minor threat to the delivery of the Council's objectives and service delivery and are within the risk appetite. Review required to ensure risk score does not change/increase, however these risks can be managed operational/service level.				
Very Low 1-2		Risks scored here represent an insignificant threat to the delivery of the Council's objectives/service delivery and are within the risk appetite. No further action is required.				

- 11.7 As demonstrated by the table shown above, any risk with a combined score of 10-25 is outside the risk appetite and action must be taken to reduce the score down to an acceptable level to protect the achievement of the Council's strategic aims and objectives.
- 11.8 In order to assist staff in the risk assessment and scoring of each risk, scoring criteria has been identified for a series of key categories. This may not be applicable in all

instances but can be used as a guide. Please see likelihood and impact scoring criteria at **Appendix B**.

12. Risk Mitigation and Management

12.1 Identifying gaps in existing controls and identification of the actions that are needed to improve the mitigation of risks in line with the Council's risk appetite will involve employing either one or a mix of the following:

- Acceptance – Where the level of the risk falls below the Council's risk appetite and a conscious decision is made to accept that risk and to take no further action other than ongoing monitoring and periodic review. Sometimes referred to as tolerate.
- Avoidance – Where the actions causing the risk are avoided; for example, withdrawing from a particular activity, project or service.
- Reduction – Take action to reduce the level of risk by reducing either the impact or the likelihood of the risk event occurring.
- Transferring – Transferring most or some of the risk to a third party. The main types are insurance and outsourcing.
- Sharing – Risk sharing is the distribution of risk to multiple organisations for example during a project with a number of stakeholders involved.

12.2 In choosing between these responses, factors to consider include cost, feasibility, probability and the potential impact. Every control has an associated cost and it is important that the control action offers value for money in relation to the risk that it is controlling.

13. Opportunity Risk

13.1 Opportunity risk is defined as a 'failure to identify or exploit an opportunity which is unable to be pursued later without an additional cost'. Managing opportunity risk involves creating a climate for innovation in which an awareness of the constraints doesn't prevent people coming up with ideas and putting them forward.

13.2 Risk and opportunity go hand in hand. The opportunity for advancement cannot be achieved without taking risk and risk is essential to progress and innovation. Excessive caution can be as damaging as unnecessary risk taking.

14. Reviewing and Reporting

14.1 Regular monitoring and review are essential to gain assurance over the risk management framework and to ascertain whether:

- Risks are still relevant
- Emergent risks have been identified

- Likelihood and impact of risks has changed
 - Controls are still effective.
- 142 Cabinet will review the Strategic Risk Register three times a year. The papers provided to Cabinet will include a summary on the effectiveness of the risk management framework and any specific comments on the strategic risks identified.
- 143 FRAG will support Cabinet by reviewing and advising on the operation and effectiveness of arrangements in place across the Council that support the achievement of objectives. FRAG will review both the Strategic risk register and risk management arrangements three times a year. They will also periodically receive results of independent assurance on the adequacy of the risk management framework and control framework.
- 144 In particular, FRAG will scrutinise the adequacy of:
- All risk and control related assurance statements, together with any accompanying internal audit statement, external audit opinion or other appropriate independent assurances.
 - The underlying assurance processes that indicate the degree of the achievement of the Council's objectives, the effectiveness of the management of strategic risks and the appropriateness of the above disclosure statements.
- 145 The Corporate Leadership Management Team will receive reports on the progress of the risk management framework prior to Cabinet and the make-up and movement in the strategic risk register three times a year.
- 146 Risks and risk registers at a directorate/service level and project level are reviewed as part of the routine cycle of team meetings or as required.
- 147 All staff are required to consider and monitor risks as part of their job role. If a risk is identified that is above risk appetite of the Council and requires escalating to the strategic risk register, the procedure at Appendix C should be followed. These risks should be monitored and reported until they are reduced to an acceptable level or the risk no longer poses a threat to the achievement of Council objectives.

15. Staff Training and Development

- 15.1 To support colleague's in the move towards a mature enterprise wide risk management process, the following training will be available:
- An e-learning self-facilitated learning module developed to provide guidance on the fundamental principles of risk, covering the policy and procedures specific to the Council.
 - A rolling programme of small team specific workshops on the fundamental principles of risk management

- One to one training and support offered to officers by the Strategy and Programmes Team and or Internal Audit.
- **Risk Identification Guidance** is also available on the intranet under risk management pages.

16. Links with other processes

- 16.1 The risk management process is carried out during the setting of strategic delivery plans and is considered during Internal Audit's approach to risk based planning. The Strategic Risk Register is considered during the completion of assurance statements informing the Council Annual Governance Statement.

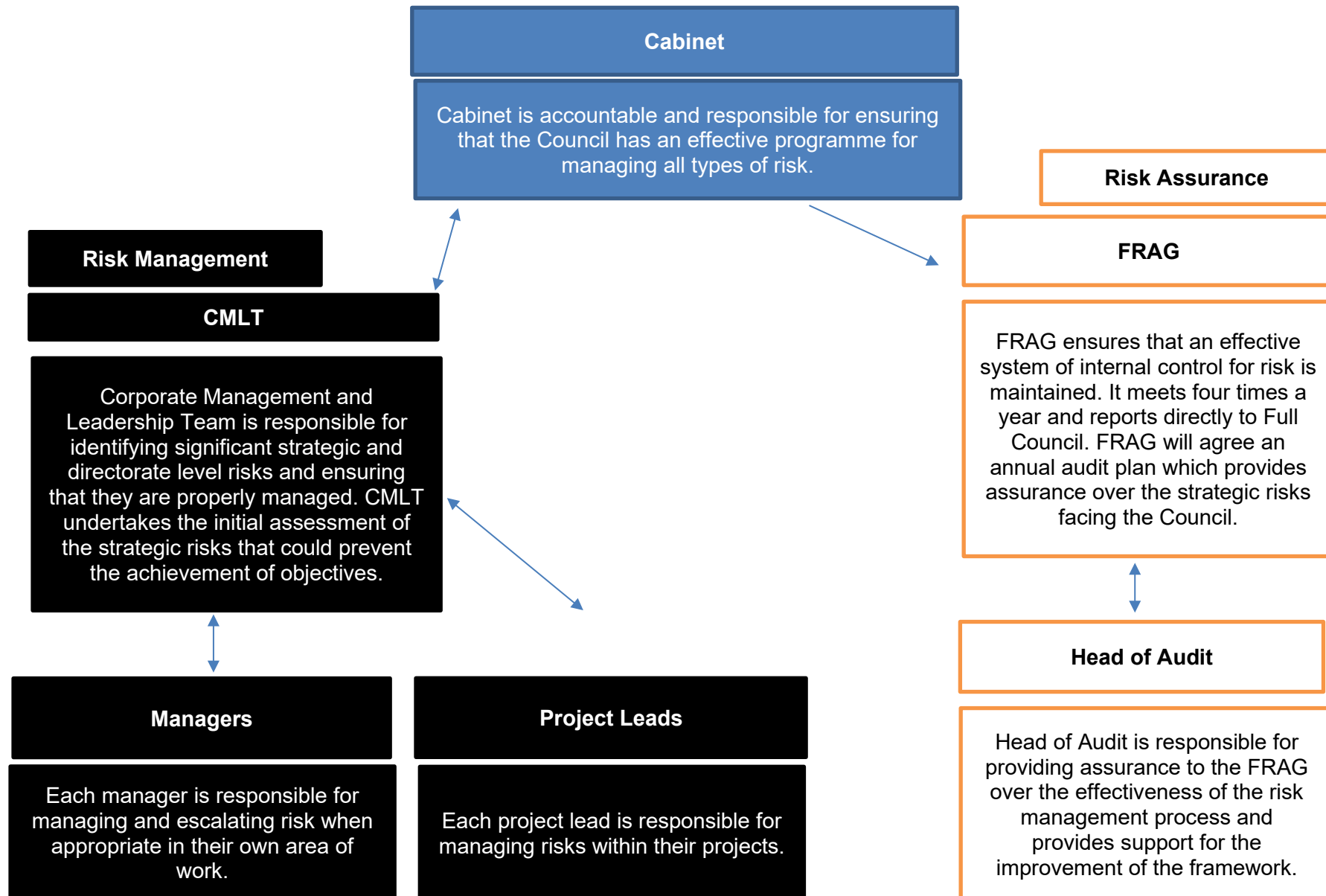
17. Appendices

Appendix A – Council's Structure for Risk Management

Appendix B – Risk Scoring Criteria – Likelihood and Impact

Appendix C - Escalation to the Strategic Risk Register

Appendix A – The Council’s Structure for Risk Management



Appendix B – Risk Scoring Criteria Likelihood and Impact

Likelihood

Likelihood		Description	Timing
5	<i>Expected</i>	<i>Risk event or circumstance is relatively certain to occur</i>	<i>More than once per year</i>
4	<i>Highly Likely</i>	<i>Risk event or circumstance is highly likely to occur</i>	<i>Once per year</i>
3	<i>Likely</i>	<i>The risk event or circumstance is more likely to occur than not</i>	<i>At least once between 1-5 years</i>
2	<i>Not likely</i>	<i>The risk event or circumstance is possible</i>	<i>At least once between 5-10 years</i>
1	<i>Rare</i>	<i>This will probably never happen</i>	<i>Probably within 10-15 years</i>

Impact

Impact Type	Insignificant	Minor	Moderate	Significant	Severe
Financial loss	£0k - <£10k	£10k - <£25k	£25k - <100k	£100k - £500k	Over £500k
Service provision	Inconsequential disruption to a service.	Minimal disruption to Council activities/service.	Significant disruption to service delivery.	Significant disruption to large parts of the Council or suspension of service.	Service suspended long term.
Projects	Minor delay	Minor milestones missed	Significant milestones missed or delayed	Major milestones missed	Project will not achieve objectives and misses majority of milestones
Objectives	No effect	Some team objectives not met	Team objectives not met	Portfolio objectives not met	Strategic objectives not met
Health and Safety	Isolated incident/ injury/illness. No lost time to injury days.	Minor injury or illness requiring medical treatment.	Threat of violence, serious injury or illness requiring medical attention.	Significant/extensive/multiple injury or illness, permanent or partial disability.	Fatality. Multiple major injuries/illness. Permanent total disability.
Staff Engagement	Isolated events of dissatisfaction	Some hostile relationships/minor non-co-operation	Hostile relationships. Major non-cooperation across the organisation	Industrial Action	Mass staff walkout/leaving
Reputational	Minor unfavourable social media coverage/attention	No media coverage. Minor letters of complaint	Adverse local media/social media coverage relating to conduct of leader or members or Council	Adverse national media exposure	Prolonged adverse national exposure
Statutory/Legal	Isolated non-compliance. Informal recommendation not followed up.	Non-compliance Warning received	Breach. Improvement Notice	Enforcement Action	Prosecution Fine Successful Judicial Review

Appendix C – Escalation to the Strategic Risk Register

